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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/578,257	05/24/2000	Janez Skubic	34650-581USPT	5563

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EXAMINER

WINTER, JOHN M

ART UNIT

PAPER NUMBER

3621

DATE MAILED: 02/26/2003

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/578,257

Applicant(s)

SKUBIC ET AL.

Examiner

John M Winter

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 03 February 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-12, 14-18, 21, 22, 24, 25, 27-31 and 33-39 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 7, 16, 18, 21-22, 24-25, 27-28 is/are allowed.
- 6) ☒ Claim(s) 1-6, 8-12, 14, 15, 17, 29-31 and 33-39 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

### Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

### Attachment(s)

- |                                                                                              |                                                                             |
|----------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)                             | 4) <input type="checkbox"/> Interview Summary (PTO-413) Paper No(s). _____  |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)         | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____ | 6) <input type="checkbox"/> Other: _____                                    |

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## DETAILED ACTION

### *Status*

Claims 13,19-20, 23, 26, and 32 have been canceled

Claims 1-12, 14-18, 21-22, 24-25 27-31, and 33-39 remain pending

### *Response to Arguments*

The applicants arguments filed on February 3, 2003 have been fully considered.

Applicant's request for reconsideration of the finality of the rejection of the last Office action is persuasive and, therefore, the finality of that action is withdrawn.

#### Claims 1 and 9

The examiner states that claims 1 and 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pare Jr, et al. (US patent 5,870,723) in view of Houvener et al (US Patent 6,202,055) and further in view of Maes et al.(US Patent 6,016,476). Maes et al. discloses the amended feature of "the personal device comprises at least one of a mobile telephone or electronic personal device" (Abstract). See following rejection.

#### Claim 29

The examiner states that on page 5 of the paper filed on May 24, 2000 the applicant defines the term "service module" as a memory containing information that describes the relationship between the buyer and the seller, further comprising at least one private key and a certificate. This feature is disclosed by Pare, Jr. et al; Pare Jr. et al. discloses a biometric input apparatus (i.e. a memory ) which receives information about goods and services purchased, including invoice number and a seller identification code (i.e. information describing the relationship between the buyer and the seller), as well as a biometric PIN code. (column 23, lines 59-67). Pare Jr. et al. further discloses that the biometric pin code consists of a 300 byte authorization biometric (i.e. a certificate) and a 4-12 digit PIN (i.e. a private key).

See following rejection.

### *Claim Rejections - 35 USC § 103*

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

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Claims 1-6, 9-12, 14-15 and 35-37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pare Jr, et al. (US patent 5,870,723) in view of Houvener et al (US Patent 6,202,055) and further in view of Maes et al.(US Patent 6,016,476)

As per claim 1

Pare, Jr et al ('723) discloses a method for enabling identification of a buyer during a transaction, comprising the steps of:  
generating an electronic portrait of a buyer,(column 15, lines 64-66)  
transmitting the electronic portrait to a seller via a wireless interface during a transaction.(figure 2)

Pare, Jr et al ('723) does not specifically disclose the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller. Houvener et al ('055) discloses the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller;(column 3, lines 22-29) It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with Houvener et al's teaching of enabling generation of a physical identifier for comparison to the buyer by a seller in order to prevent sellers from being the victims of fraudulent activities performed by customer who misrepresent themselves.

Pare, Jr et al ('723) does not specifically disclose storing the electronic portrait in a personal device to enable access of the electronic portrait by a seller during a transaction wherein the personal device comprises at least one of a mobile telephone or electronic personal device. Maes et al. ('476) discloses storing the electronic portrait in a personal device (Abstract) to enable access of the electronic portrait by a seller during a transaction (column 12, lines 30-39, also column 5, lines 60-63) wherein the personal device comprises at least one of a mobile telephone or electronic personal device (Abstract); It would be obvious to one having ordinary skill in the art at the time of the invention to further combine Pare Jr. et al's method with Maes et al's teaching storing the electronic portrait to enable access of the electronic portrait by a seller during a transaction in order to provide to sellers with a certification of the customers authenticity.

As per claim 2,

Pare, Jr et al ('723) discloses the method of Claim 1,  
wherein the step of storing further comprises the step of storing the electronic portrait within a certificate in the personal device.(figure 6)

As per claim 3,

Pare, Jr et al ('723) discloses the method of Claim 1,  
wherein the step of storing further comprises the step of storing the electronic portrait in an encrypted format within the personal device.(figure 5)

As per claim 4,

Pare, Jr et al ('723) discloses the method of Claim 1,  
wherein the electronic portrait comprises at least one of:

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an electronic photo of the buyer; a graphic imprint of the buyer;  
a mathematical imprint of the buyer;  
a verbal description of the buyer;  
an electronic audio imprint of the buyer; and an electronic  
video imprint of the buyer.(column 15, lines 60-67; column 16, lines 1-4)

As per claim 5,

Pare, Jr et al ('723) discloses the method of Claim 1,

Pare, Jr et al ('723) does not specifically disclose wherein the personal device comprises at least one of a mobile telephone or an electronic personal device. Maes et al. ('476) discloses wherein the personal device comprises at least one of a mobile telephone or an electronic personal device.(column 3, lines 34-37; figure 3 label 10 ) It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with Maes et al's teaching of using a mobile phone or electronic personal device order to provide authentication services to consumers who are mobile.

As per claim 6,

Pare, Jr et al ('723) discloses the method of Claim 1,

further including the step of placing the electronic device in a shielded area associated with the seller prior to transmitting the electronic portrait.(column 6, lines 12-21,30-31)

As per claim 35,

Pare, Jr et al ('723) discloses the method according to Claim 1, further including the step of including an encryption key with the electronic portrait.(figure 5)

As per claim 36,

Pare, Jr et al ('723) discloses the method according to Claim 1, further including the step of including a public key with the electronic portrait.(column 19, lines 30-37)

As per claim 37,

Pare, Jr et al ('723) discloses the method according to Claim 1,

Official notice is taken that it is old and well know in the art of customer authentication to include a private key associated with the electronic portrait. It would be obvious to one having ordinary skill in the art at the time of the invention to include a private key associated with the electronic portrait in order to allow the customer to prove his identity.

As per claim 9

Pare, Jr et al ('723) discloses a method for enabling identification of a buyer during a transaction, comprising the steps of:

receiving an electronic portrait from a personal device of the buyer via a short range wireless interface, (figure 2)

generating the physical identifier from the received electronic portrait; (column 15, lines 64-66)

Pare, Jr et al ('723) does not specifically disclose the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller. Houvener et al ('055)

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discloses the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller; (column 3, lines 22-29) It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with Houvener et al's teaching of enabling generation of a physical identifier for comparison to the buyer by a seller in order to prevent sellers from being the victims of fraudulent activities performed by customer who misrepresent themselves.

Pare, Jr et al ('723) does not specifically disclose the personal device comprises at least one of a mobile telephone or electronic personal device". Maes et al. ('476) discloses the personal device comprises at least one of a mobile telephone or electronic personal device (Abstract); It would be obvious to one having ordinary skill in the art at the time of the invention to further combine Pare Jr. et al's method with Maes et al's teaching of using a PDA in order to provide the customer with the utility of having a secure portable authentication system.

Official notice is taken that it is old and well known in the art of customer authentication to displaying the physical identifier to the seller using equipment of the seller. It would be obvious to one having ordinary skill in the art at the time of the invention to display the physical identifier to the seller using equipment of the seller in order to reduce the amount of equipment in the consumer's possession

Official notice is taken that it is old and well known in the art of customer authentication to complete the transaction if the physical identifier corresponds to the buyer. It would be obvious to one having ordinary skill in the art at the time of the invention to complete the transaction if the physical identifier corresponds to the buyer in order for the seller to make a profit.

As per claim 10

Pare, Jr et al ('723) discloses the method of Claim 9, Official notice is taken that it is old and well known in the art of customer authentication to interconnect with a personal device containing the electronic portrait via the bluetooth interface. It would be obvious to one having ordinary skill in the art at the time of the invention to interconnect with a personal device containing the electronic portrait via the bluetooth interface in order allow the consumer to have the convenience of not carrying a cable.

As per claim 11

Pare, Jr et al ('723) discloses the method of Claim 9, Official notice is taken that it is old and well known in the art of customer authentication to decrypt the electronic portrait. It would be obvious to one having ordinary skill in the art at the time of the invention to decrypt the electronic portrait to allow the portrait to be rendered in a human readable format.

As per claim 12,

Pare, Jr et al ('723) discloses the method of Claim 9, wherein the electronic portrait comprises at least one of:  
an electronic photo of the buyer; a graphic imprint of the buyer;  
a mathematical imprint of the buyer;  
a verbal description of the buyer;

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an electronic audio imprint of the buyer; and an electronic video imprint of the buyer.(column 15, lines 60-67; column 16, lines 1-4)

As per claim 14

Pare, Jr et al ('723) discloses the method of Claim 9,

Official notice is taken that it is old and well know in the art of customer authentication to comparing the physical identifier to the buyer. It would be obvious to one having ordinary skill in the art at the time of the invention to compare the physical identifier to the buyer in order to prevent fraud.

As per claim 15,

Pare, Jr et al ('723) discloses the method of Claim 9,

further comprises receiving from the personal device which is located in a shielded area. (column 6, lines 12-21,30-31)

Claims 8,17, and 34 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pare Jr, et al. (US patent 5,870,723) in view of Houvener et al (US Patent 6,202,055) and further in view of Maes et al.(US Patent 6,016,476) and further in view of Philips Bluetooth.

As per claim 8,

Pare, Jr et al ('723) discloses the method of Claim 1,

Pare, Jr et al ('723) does not specifically discloses wherein interface comprises a Bluetooth interface. Philips Bluetooth discloses wherein interface comprises a Bluetooth interface. It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with the Philips Bluetooth teaching of using a Bluetooth interface in order to provide authentication services to consumers who are mobile.

As per claim 17,

Pare, Jr et al ('723) discloses the method of Claim 9,

Pare, Jr et al ('723) does not specifically discloses wherein interface comprises a Bluetooth interface. The Philips Bluetooth article discloses wherein interface comprises a Bluetooth interface. It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with the Philips Bluetooth article teaching of using a Bluetooth interface to provide authentication services to consumers who are mobile.

As per claim 34,

Pare, Jr et al ('723) discloses the electronic personnel device of Claim 29,

Pare, Jr et al ('723) does not specifically discloses wherein the wireless communication link comprises a Bluetooth interface. BT article discloses wherein interface comprises a Bluetooth interface. It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with BT article teaching of using a Bluetooth interface in order to provide authentication services to consumers who are mobile.

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Claims 29-31,33,38 and 39 are rejected under 35 U.S.C. 103(a) as being unpatentable over Pare Jr, et al. (US patent 5,870,723) in view of Houvener et al (US Patent 6,202,055)

As per claim 29,

Pare, Jr et al ('723) discloses an electronic personal device enabling identification of a buyer during a transaction comprising:

a memory;(column 12 line 30)

an electronic portrait, wherein the electronic portrait is part of a service module. (column 15, lines 64-66, -- column 23, lines 59-67 in regards to the specific aspect of a service module )

transmission circuitry enabling a wireless communications link between the buyer and the seller for transmission of the electronic portrait.(column 14, lines 5-16)

Pare, Jr et al ('723) does not specifically disclose the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller. Houvener et al ('055) discloses the electronic portrait enabling generation of a physical identifier for comparison to the buyer by a seller;(column 3, lines 22-29) It would be obvious to one having ordinary skill in the art at the time of the invention to combine Pare Jr. et al's method with Houvener et al's teaching of enabling generation of a physical identifier for comparison to the buyer by a seller in order to prevent sellers from being the victims of fraudulent activities performed y customer who misrepresent themselves.

As per claim 30,

Pare, Jr et al ('723) discloses the method according to Claim 29, further including a public key with the electronic portrait.(column 19, lines 30-37)

As per claim 31,

Pare, Jr et al ('723) discloses the electronic personal device of Claim 29, wherein the electronic portrait is part of a certificate.(figure 6)

As per claim 33,

Pare, Jr et al ('723) discloses the method of Claim 29,

Wherein the personal device comprises a mobile telephone.(column 14, lines 20-32)

As per claim 38,

Pare, Jr et al ('723) discloses the method according to Claim 29,

Official notice is taken that it is old and well know in the art of customer authentication to include a private key associated with the electronic portrait. It would be obvious to one having ordinary skill in the art at the time of the invention to include a private key associated with the electronic portrait in order to allow the customer to prove his identity.

As per claim 39,

Pare, Jr et al ('723) discloses the method according to Claim 1,

further including an encryption key associated with the electronic portrait.(figure 5)

***Allowable Subject Matter***



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Claim 7,16, 18, 21-22, 24-25, and 27-28 are allowed

*Conclusion*

Any inquiry concerning this communication or earlier communications from the examiner should be directed to John M Winter whose telephone number is (703) 305-3971. The examiner can normally be reached on M-F 8:30-6, 1st Fridays off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James P Trammell can be reached on (703)305-9768. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 305-7687 for regular communications and (703) 305-7687 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-1113.

JMW  
February 25, 2003

*John M. Winter*  
*Primary Examiner*